

LETTER OF INSTRUCTIONS

Re: Data Index System of Classified Documents

1. General. This directive is intended to provide guidelines for the establishment of a data index of selected categories of classified documents, including explanation of the selected categories which must be indexed, the retrieval capabilities of the index, on-call information which must be obtainable, and reports which will be required, or are contemplated.
2. Applicability. Every Department shown in Section 2(A) and (B) of Executive Order 11652 and as defined therein, which is thereby authorized to originate classified documents, shall establish a data index.
3. Authority. The authority for requiring the establishment of a data index is contained in Section VII of the National Security Council Directive of May 17, 1972 (37 FR 10053). It provides that each Department shall undertake to establish a data index system no later than July 1, 1973 which shall index selected categories of information and material produced and classified after December 31, 1972.
4. Objectives. The primary objectives of the data index system are;
(1) To enable the Departments to manage their classified documents better; in particular to provide a manual or automated system of identifying and locating classified documents either scheduled for declassification or for periodic classification review or requested by the Departmental Review Committee or the Interagency Classification Review Committee (ICRC) or pursuant to Section 5 of Executive Order 11652; and (2) To monitor implementation of Executive Order 11652 by drawing upon the information (data elements) within the data index in response to periodic or other report requirements.
5. Systems Design. Some of the objectives set forth above should be obtainable through established records management practices; others will require implementation of new procedures and systems. Where the volume of classified material is high, some degree of automatic data processing may be necessary. The ICRC does not intend to specify the nature or operational characteristics of these systems, but it shall be furnished with a brief description of the data index as it will operate in each Department. Such descriptions shall be furnished at the earliest possible date, but in no event later than February 1, 1973. (It should be noted that the index applies to the selected categories

of information and material produced and classified after December 31, 1972.)

6. Basis and Scope of Index. The data index shall cover Top Secret, Secret and Confidential information in selected categories approved by the ICRC as having sufficient historical or other value appropriate for preservation. In exceptional circumstances the data index system may be adopted in phases subject to written request approved by the ICRC.

Among the selected categories which must be indexed are all Top Secret documents and all Secret and Confidential documents exempted from the General Declassification Schedule.

Exceptions. The ICRC will consider exclusion of "in house" operational type documents such as drawings, design data, specifications, technical notebooks, photographs, completed forms and formats, cost reports, books of account, etc. These generally would be of a transitory nature with a short life span such as working papers, draft reports, machine listings which are disposed of, become part of other finished documents or need to be retained or classified for only brief periods of time. The ICRC will also consider Departmental requests for the exclusion of certain types of Top Secret or exempted material (particularly those exempted by statute). However, receipt of such exception does not negate the requirement for indexing excepted documents which fall within the selected categories.

In addition, the classified documents which have permanent retention value or are historically, scientifically or technically important are among the selected categories which must be included in the data index. A combination of one or more of the following characteristics shall be used in making such determination: (1) the document carries the highest classification marking; (2) the document has a life exceeding ten years; and (3) the document was originated at a senior office level or by a senior official of the Department concerned. Document entry determinations should be guided by, but not necessarily limited to, conformance with one or more of the above characteristics. Departments may include some classified documents not deemed "appropriate for preservation" if considerations related to the cost of identifying and segregating such documents make such approach more economical. Final approval of the selected categories adopted by a Department shall be made on the basis of a proposal submitted in writing to the ICRC prior to December 31, 1972.

7. Information Requirements. As a minimum, the data index must contain the following data elements with respect to each document indexed. Each of the data elements is described below, including the

input required, terminology to be used in referring to the data element and its output format when contained on reports to the ICRC.

A. Identity of Classifier. (1) Description. Every Department is required to maintain record lists of individuals with classification authority. Such lists must be updated on a quarterly basis and when submitted to the ICRC this is known as the "Authorized Classifiers" Report. Every classified document must also contain the name (code) of the individual authorizing the classification, either originally or on the basis of a classification guideline. The name so indicated on the document must be obtainable from the data index.

(2) Identification terminology. On all reports and future instructions the "identity of the classifier" shall be referred to as "Classifier."

(3) Output format. Last name and at least the first initial of the classifier shall be used unless an authorized code is utilized pursuant to Section 1(D) of the National Security Council Directive to protect the identity of the classifier. There is no objection to using codes in the data index to identify classifiers. The output, however, shall be by name or authorized code (protecting the identity of the classifier).

B. Originating Office. (1) Description. This refers to the originating office within the Department where the classification action occurred.

(2) Identification terminology. On all reports and future instructions "originating office" shall be referred to as "Origin. Office."

(3) Output format. An easily recognizable alpha abbreviation or unabbreviated office title shall be used. There is no objection to using codes in the data index system. The output, however, shall not be coded. If abbreviations are used, a decode list shall be furnished to the ICRC.

C. Title or Description of Document. (1) Description. This refers to a simple, plain language description of the document. Reference to events, persons, periods covered or other such information which can usefully identify the material contained in the document should be included. Easily recognizable abbreviations

ought to be utilized wherever possible. Coding of the title or description is unacceptable.

(2) Identification terminology. Document title or description shall be referred to as "Title or Descript."

(3) Output format. An alpha/numeric entry with easily recognizable abbreviations or unabbreviated terms shall be used. The output shall be identical to the input entry.

D. Addressees. (1) Description. As a minimum, "Addressees" may be shown in the index as the number of copies distributed of the original record copy of the classified document. A retrievable copy of the document, however, must contain the actual distribution list referring to individuals or offices where distribution has been made.

(2) Identification terminology. The number of copies distributed shall be referred to as "Number of Copies."

(3) Output format. The Number of Copies shall be indicated by a numeric entry.

E. Date of Document. (1) Description. The date of the report or document shall be used as the classification date. Such date shall be indicated by using the Federal Information Processing Standards (FIPS) Publication #4 to code the year, month, and day (high to low).

(2) Identification terminology. Date of document shall be referred to as "Document Date."

(3) Output format. The FIPS six digit numeric entry shall be used indicating year, month and day, e.g., 80-01-20 (January 20, 1980).

F. Subject. (1) Description. Subject index terms refer to designated subject matter categories established by Departments describing the nature of the information to which the classified document relates. A listing of subject terms to be utilized (e.g., key words, thesauri, etc.) must be provided to the ICRC prior to implementation of the data index. Approval may be requested to develop an index on the basis of the first six months experience on indexing. The minimum requirement for the

data index is the entry of one significant subject term.

(2) Identification terminology. Subject categories shall be referred to as "Subject."

(3) Output format. Subject terms must be indicated by using easily recognizable abbreviations or unabbreviated terms. Codes may be utilized within the index. The output, however, shall not be coded. If abbreviations are used, a decode list shall be furnished to the ICRC.

G. Area Code. (1) Description. Area Codes in the index refer to countries, geopolitical entities, dependencies and areas of special sovereignty. The use of standard domestic and international codes set forth in publications such as FIPS Publication #10 or the GSA Geographical Location Code is suggested.

(2) Identification terminology. Area Codes shall be referred to as "Area."

(3) Output format. Area Codes must be in unabbreviated form unless standard codes are used, provided, however, Area Codes shall be unabbreviated when used in the Annual Declassification Lists, described in paragraph 11 B herein.

H. Classification Category. (1) Description. This refers to the classification category originally assigned to the document (Top Secret, Secret or Confidential). Where a document contains information having more than one classification category, the highest classification shall be included in the index.

(2) Identification terminology. Classification category shall be referred to as "Classif. Cat."

(3) Output format. Where Classif. Cat. is used in a columnar header the words "Top Secret", "Secret" or "Confidential" shall be used. When Classif. Cat. appears elsewhere, the abbreviation "T", "S" or "C" shall be used (e.g., part of line description of document.)

I. Declassification Schedule. (1) Description. The three variations on the downgrading and declassification schedules

must be available from the index: a) declassification in advance of the General Declassification Schedule; b) declassification in accordance with the General Declassification Schedule; or c) declassification beyond the General Declassification Schedule.

(2) Identification terminology. The declassification schedule shall be referred to as "Declass. Sched."

(3) Output format. Where Declass. Sched. is used in a columnar header, the following shall correspond with each of the three variations: a) "Advance Schedule" b) "General Schedule" and c) "Exemption Schedule." Otherwise the abbreviations "AS", "GS" or "XS" shall be used.

J. Exemption Category. (1) Description. A classified document falling into the Exemption Schedule shall have one or more exemption categories assigned to it which shall be available from the index: a) exemption category 1, b) exemption category 2, c) exemption category 3 and d) exemption category 4.

(2) Identification terminology. Exemption category shall be referred to as "Ex. Cat."

(3) Output format. Where Ex. Cat. appears in a columnar header "Ex. Cat." shall appear with one or more numbers. Otherwise the letter "X" and the numbers assigned shall be reflected (e.g., X1, X23, X4).

K. Declassification Date or Event. (1) Description. Regardless of the Declass. Sched. every document shall be marked to show only one of the following, which shall be entered into the index: a) declassification date, b) a declassification event, or c) an indefinite declassification time. If date applies, the year of declassification shall be indicated. If an event applies, it is sufficient for the index to so indicate. If neither date nor event applies, an indefinite status shall be indicated as shown in (4) below. If both date and event are known, indicate date. If event is known, but date is indefinite, indicate event.

(2) Update requirement. There shall be no requirement to continuously update manual or automatic index records to reflect current classification categories as changes occur according to Declass. Schedules. However, any change in the declassification event or date must be reflected in the index.

(3) Identification terminology. Date or event set for

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(4) Output format. A two digit numeric entry shall indicate the year of declassification, e.g., 80 (1980). Event declassification shall be indicated by "EV". Indefinite shall be indicated by "IN".

L. File Designation. This is an optional data element related to the retrieval capabilities of the data index and is further described in paragraph 8 below. There is no requirement that a file designation be reported to the ICRC.

8. Retrieval Capabilities. A document which is entered into the data index must be retrievable wherever located (manual, automated, or computer) from the Departmental files within 48 hours of receiving a request, given minimal combinations of (1) Classifier; (2) Origin. Office; (3) Title or Descript.; (4) Number of Copies; (5) Classif. Date; (6) Subject; (7) Area Code; (8) Declass. Sched.; and (9) Declass. Date. The time required to make it available to the Departmental Committee or the ICRC or other requester shall depend upon the physical location of the document.

9. Information Capabilities. The data index must continue to maintain in the index all of the selected categories of classified documents entered until they are declassified (and reported on the Annual Declassification Lists described in paragraph 11 B herein.)

10. Data Management. Departments are expected to establish adequate routines to ensure that data files and manual systems reflect accurate information on classified material. This would include reasonable edit routines, provisions for correcting entries when errors are found, or when a review results in changing an assigned declassification schedule. This applies in particular to adjusting an "event," "date" or "indefinite" declassification condition as a result of a review to preclude the reappearance of the item in subsequent review listings.

11. Periodic Reports. The following periodic reports from the data index shall be required as indicated. Other reports contemplated by Section IX of the NSC Directive may be established at a future date.

A. Annual Review List. (1) Purpose. The Annual Review List is intended to assist the Departments and the ICRC by ensuring that classified materials not scheduled for automatic declassification are reviewed systematically on an annual basis for the purpose of declassification as soon as there are no longer any grounds for continued classification. This report is

scheduled prior to the report in paragraph B below, specifically to provide for inclusion in the Annual Declassification Lists of documents becoming declassified after review. For this reason, notification of review determinations is reflected in the update requirement with respect to the Declass. Date set forth in paragraph 7K(2) above.

(2) Description. This is a list of classified documents which are 1) exempt and over 10 years old; or 2) indicate an event declassification. Sorting shall be in the following order: a) Origin. Office by alphabetical sequence; b) Classifier in alphabetical sequence by last name and first name or initial; and c) Classif. Cat. in descending order, "T", "S", then "C". Such list shall be printed in the following sequence across the page: a) Origin. Office; b) Classifier; c) Classif. Cat.; d) Title or Descript.; e) Document Date; f) Subject; g) Area Code; h) Declass. Sched.; i) Ex. Cat., if any; and j) Declass. Date. A sample of the format is shown in Appendix A.

(3) Frequency, Due Date. The Annual Review List shall be forwarded to the ICRC by April 1 of each year and shall cover all classified documents indexed on or before December 31 of the previous calendar year. The first report shall be in 1974.

(4) Medium. The Annual Review List shall be on hard copy in either typewritten form or as a computer printout.

(5) Copies. Forward original to the ICRC.

(6) Classification. If any of the titles or descriptions contained in the Annual Review List are classified, such list shall carry the highest classification indicated. If the critical nature of such list is otherwise determined to require some protection in the interest of the national security, it shall be classified as appropriate.

B. Annual Declassification Lists. (1) Purpose. The Annual Declassification Lists shall accomplish the intent of Section III of the NSC Directive that during each calendar year each Department shall segregate to the maximum extent possible all classified information becoming declassified and warranting preservation and shall make such information available to the public to the extent permitted by law. Procedures will be

established to ensure physical availability of the documents listed in the National Archives and Records Service, appropriate Federal Records Center or other public facility.

(2) Description. This is a two-part listing of documents which become declassified on or before December 31 of the previous calendar year and documents listed in the April 1 Annual Review List which it has been determined after review should be declassified. It shall be printed by Subject and then by Area Code. Sorting shall be done in the following order: a) Subject by alphabetical sequence; b) Origin. Office by alphabetical sequence; and c) Document Date by chronological date from low to high (i. e. day, month and year). The Subject List shall be printed in the following sequence across the page: a) Subject; b) Origin. Office; c) Document Date; d) Area in unabbreviated form; e) Title or Descript.; and f) Classif. Cat. Sorting of the Area List shall be in the following order: a) unabbreviated Area by alphabetical sequence; b) Origin. Office by alphabetical sequence; and c) Document Date by chronological date from low to high. It shall be printed in the same sequence across the page except Area in unabbreviated form shall appear in place of Subject as the first item and vice versa for item 'd'. A sample of the format is shown in Appendix B.

(3) Frequency, Due Date. The Annual Declassification Lists shall cover all classified documents indexed on or before December 31 of the previous calendar year and shall be forwarded to the ICRC on September 1 of each year. The first report shall be in 1974.

(4) Medium. The Annual Declassification Lists shall be on hard copy in either typewritten form or as a computer printout.

(5) Copies. Forward original and one copy to the ICRC and one copy to the Archivist of the United States.

(6) Classification. Unclassified.

12. On-Call Reports. The ICRC expects to monitor implementation of Executive Order 11652 and to ensure continuing evaluation of the security classification program by calling for reports from time to time. Sorting and other instructions will be provided at the time of such

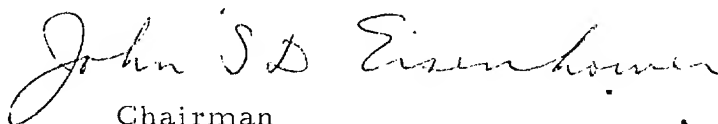
request. Examples of such reports are set forth below.

A. Audit List. Departments may be asked to prepare a listing of classified documents indexed during a given period by Origin. Office for the purpose of a substantive audit of classification standards.

B. Classification Action Report. Departments may be asked to furnish statistics on the number of items indexed during a given period, their classification category, and declassification schedule in order to ascertain the index volume.

C. Classifiers Review List. Departments may be asked to furnish a listing of the number of classification actions attributable to each classifier in order to periodically evaluate possible reduction in the number of officials authorized to classify.

13. Rescinds. This directive is effective upon issuance and repeals the memorandum dated October 20, 1972 on standard abbreviations for the data index.

A handwritten signature in cursive script, reading "John S. Eisenhower".

Chairman
Interagency Classification Review
Committee

DEPARTMENT OF DEFENSE

ANNUAL REVIEW LIST

<u>ORIGIN</u> <u>OFFICE</u>	<u>CLASSIFIER</u>	<u>CLASSIF</u> <u>CAT</u>	<u>TITLE OR</u> <u>DESCRIPT*</u>	<u>DOCUMENT</u> <u>DATE</u>	<u>SUBJECT</u>	<u>AREA</u>	<u>DECLASS</u> <u>SCHED</u>	<u>EX</u> <u>CAT</u>	<u>DECLASS</u> <u>DATE</u>
Asst. Sec. for Planning Abbott, John		T	Contingency Report #9	72-11-11	Emgcy Plan U. S.		XS	X1,2	86-11-31
Baker, Alice		T	Project "Z"	74-02-10	Missiles	U. S.	XS	X3	IN
Moore, Thomas		S	Agreement on Use of Lasers	76-01-31	Intel. Tech. FR.		GS		EV
Weapons Office Mullens, S.		C	Deployment of Troops Near Missile Sites	80-06-01	Opns.	GER.	AS		EV

In the event the title or description requires additional space, the information following it should be carried to another line.

DEPARTMENT OF DEFENSE

ANNUAL DECLASSIFICATION LIST

<u>SUBJECT</u>	<u>ORIGIN OFFICE</u>	<u>DOCUMENT DATE</u>	<u>AREA</u>	<u>TITLE OR DESCRIPT*</u>	<u>CLASSIF CAT</u>
Emgcy Pl	Asst. Sec. for Plann.	73-4-5	United States	Contingency Report #9	T
	Asst. Sec. for Plann.	77-7-12	Thailand	Airmobile Memo 78	C
Intel Tech	Asst. C/S - Intel	75-2-29	France	Agreement on the Use of Lasers	S
	DAR & E	72-11-14	U. S.	Develop. Photo Satellite	S
Missiles	Asst. Sec. for Plann.	74-1-1	Canada	Joint Defense Plan	T
Opns	Weapons Office	77-11-17	Germany	Deployment of Troops Near Missile Sites	C

*In the event the title or description requires additional space, it should be carried to the next line.